

# ATTACHMENT A

U.S. CFTC v. EQUITY FINANCIAL GROUP, et al.

NJ Case No. 04-cv-1512

## Restitution Schedule as to Shasta Commodity Pool Participants

Participant	Amount Restituted	Interest Rate	Interest Amount	Total Restitution
1 A Wall Street Fund c/o Thomas Buckley	\$450,000.00	\$0.00	\$318,857.27	\$131,142.74
2 Aaron, Susan D. c/o Vanguard Fiduciary Trust Company	\$100,000.00	\$0.00	\$70,857.17	\$29,142.83
3 Acacia Fund	\$115,000.00	\$0.00	\$81,485.75	\$33,514.25
4 Ardill, Thomas A.	\$99,980.00	\$71,133.00	\$0.00	\$28,847.00
5 Batchelor, Robert Scott	\$150,000.00	\$0.00	\$106,285.76	\$43,714.25
6 BPU Banca Populare Commercio, Industria International SA c/o Massimo Munzin	\$519,914.60	\$0.00	\$368,396.77	\$151,517.83
7 Broadtree Reinsurance Co. c/o John Evans	\$200,000.00	\$0.00	\$141,714.34	\$58,285.66
				1.41%
				\$16,827.53
				\$75,113.19

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9	Bubonovich, Michael and Carol			0.00%		
10	Bubonovich, Michael c/o First Regional Bank			0.00%		
	<b>Totals for Claim Numbers 9 and 10</b>	<b>\$372,789.00</b>	<b>\$0.00</b>	<b>\$284,447.74</b>	<b>\$0.00</b>	<b>\$31,385.58</b>
11	Castle Rock Company Limited c/o Nestin Gunkut	\$499,968.00	\$0.00	\$354,263.18	\$145,704.82	3.53%
12	Chambers, James F. and Iva N.	\$100,000.00	\$36,500.00	\$34,357.17	\$29,142.83	0.71%
13	Chen, Jun	\$100,000.00	\$0.00	\$70,857.17	\$29,142.83	0.71%
14	Chung, Anita Li	\$150,000.00	\$0.00	\$106,285.76	\$43,714.25	1.06%
15	Corcoran, Steve	\$200,000.00	\$0.00	\$141,714.34	\$58,285.66	1.41%
16	Dent, Thomas c/o Vanguard Fiduciary Trust Company					0.00%
17	Dent, Thomas W. and Barbara L.					0.00%

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		<b>Totals for Claim Numbers 18 and 19</b>	\$375,000.00	\$0.00	\$265,714.39	\$109,285.61	2.64%	\$26,561.61	\$240,837.23
20	Deverett, Howard/Elexis Capital					0.00%			
21	Deverett, Howard					0.00%			
		<b>Totals for Claim Numbers 20 and 21</b>	\$400,000.00	\$0.00	\$283,428.68	\$116,571.32	2.92%	\$30,655.05	\$150,226.71
23	Freida, Richard R. and Marcia c/o Charles Schwab & Co.	\$75,000.00	\$0.00	\$53,142.88	\$21,857.12	0.53%	\$6,310.32	\$28,167.45	
25	Gambrell, Byron	\$60,000.00	\$0.00	\$42,514.30	\$17,485.70	0.42%	\$5,048.26	\$22,533.96	
26	Green, Marsha	\$152,000.00	\$0.00	\$114,400.03	\$37,599.97	0.91%	\$10,855.41	\$48,455.38	
28	Heller, William D. and Janet E.	\$100,000.00	\$0.00	\$70,857.17	\$29,142.83	0.71%	\$8,413.76	\$37,556.59	
29	Hirsch, Norman	\$205,000.00	\$0.00	\$145,257.20	\$59,742.80	1.45%	\$17,248.22	\$76,991.02	
33	Kalb, Austin	\$100,000.00	\$0.00	\$70,857.17	\$29,142.83	0.71%	\$8,413.76	\$37,556.59	

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Claim Number	Participant Name	Amount Claimed	Amount Restituted	Percentage Restituted	Amount Due
34	KCL Corporation c/o Faith and Cengiz Ozcelebi	\$200,482.00	\$0.00	\$142,055.87	\$58,426.13
35	Kraus, Stephen J. c/o Lincoln Trust Company	\$136,000.00	\$0.00	\$96,365.75	\$39,634.25
36	Leveque, Laurent	\$100,000.00	\$0.00	\$70,857.17	\$29,142.83
37	List, Thomas c/o Millennium Trust Company	\$95,000.00	\$0.00	\$67,314.31	\$27,685.69
38	Lopez, Alfred	\$25,000.00	\$0.00	\$17,714.29	\$7,285.71
39	Loucks, Richard	\$95,000.00	\$60,000.00	\$7,314.31	\$27,685.69
40	Marrongelle, Dr. Jeffrey L. and Barbara	\$100,000.00	\$0.00	\$70,857.17	\$29,142.83
41	McManigal, Paul G.				0.00%
42	McManigal, Paul G. IRA c/o Millennium Trust Company				0.00%
<b>Totals for Claims Numbers 41 and 42</b>		<b>\$466,000.00</b>	<b>\$366,000.00</b>	<b>78.26%</b>	<b>\$128,000.00</b>

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44	Mukerji, Jaydip	\$200,000.00	\$0.00	\$141,714.34	\$58,285.66	1.41%	\$16,827.53
45	Northridge, G. Stephen	\$350,000.00	\$0.00	\$248,000.10	\$101,999.91	2.47%	\$29,448.17
46	Omaha Boy, Nancy H.	\$195,000.00	\$0.00	\$138,114.22	\$56,885.78	1.38%	\$16,423.37
53	Podila, Prasad	\$400,000.00	\$0.00	\$283,428.68	\$116,571.32	2.82%	\$33,655.05
56	Richardson, Robert c/o Charles Schwab & Co.	\$48,000.00	\$0.00	\$34,011.44	\$13,988.56	0.34%	\$4,038.61
57	Richardson, Theresa c/o Charles Schwab & Co.	\$28,000.00	\$0.00	\$19,840.01	\$8,159.99	0.20%	\$2,355.85
59	Saner, Cheri	\$110,000.00	\$0.00	\$77,942.89	\$32,057.11	0.78%	\$9,255.14
60	Saner, Dale c/o First Regional Bank	\$360,000.00	\$0.00	\$255,085.81	\$104,914.19	2.54%	\$30,289.55
61	Schulz, Diana c/o Millennium Trust Co.					0.00%	\$135,203.74



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79	Taleb, Nazih and May c/o Karim Taleb	\$100,000.00	\$0.00	\$70,857.17	\$29,142.83	0.71%	\$8,413.76
80	Tate Family Limited Partnership	\$430,000.00	\$0.00	\$304,685.83	\$125,314.17	3.03%	\$36,179.18
81	Tate, Philip	\$300,000.00	\$0.00	\$212,571.51	\$87,428.49	2.12%	\$25,241.29
82	Triester International Trading Corporation	\$200,000.00	\$0.00	\$141,714.34	\$58,285.66	1.41%	\$16,827.53
83	Unger, Kathrin	\$238,000.00	\$66,600.00	\$102,040.06	\$69,359.94	1.68%	\$20,024.76
84	Unger, Samuel S.	\$125,000.00	\$0.00	\$88,571.46	\$36,428.54	0.88%	\$10,517.20
85	Universe Capital Appreciation, LLC c/o David Perkins	\$3,079,500.00	\$432,435.00	\$1,685,826.76	\$961,238.24	23.26%	\$277,517.01
86	Valbracht, Walker William and Janice	\$170,000.00	\$0.00	\$120,457.19	\$49,542.81	1.20%	\$14,303.40
87	Wood, Dennis c/o Charles Schwab & Co.	\$53,000.00	\$0.00	\$37,554.30	\$15,445.70	0.37%	\$4,459.29
							\$19,904.99

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88	Zinman, Don	\$250,000.00	\$0.00	\$177,142.93	\$72,857.08	1.76%	\$21,034.41
89	Zwyssig, Marco	\$99,965.00	\$0.00	\$70,832.37	\$29,132.63	0.70%	\$8,410.82
90	Hlm, Ron c/o Ryan Allan Ltd.	\$100,000.00	\$0.00	\$70,857.17	\$29,142.83	0.71%	\$8,413.76
91	Chicago Freight Car Leasing	\$300,000.00	\$0.00	\$212,571.51	\$87,428.49	2.12%	\$25,241.29
<b>TOTALS</b>		<b>\$14,108,398.11</b>	<b>\$1,137,668.00</b>	<b>\$8,638,094.30</b>	<b>\$4,132,635.81</b>	<b>100.00%</b>	<b>\$1,183,124.35</b>
							<b>\$325,700.16</b>

# ATTACHMENT B

U.S. SEC v. EQUITY FINANCIAL GROUP, et al.

**SCHEDULE OF SHIVIER DISGORGMENT TO BE REPAYED TO INVESTOR CLAIMANTS AFFECTED BY  
REPAYMENTS FROM KAIVALYA AND EDGAR**

Universe Capital Appreciation	COOPER, ROBERT	\$35,000.00	7.05%	\$10,104.77	\$45,104.77		
Universe Capital Appreciation	GRAVES, AMANDA	\$25,000.00	5.04%	\$7,217.70	\$32,217.70		
Shasta Capital Associates	GREEN, MARSHA	\$84,280.00	16.99%	\$24,332.30	\$108,612.30		
Universe Capital Appreciation	GUBLER, CORY	\$15,000.00	3.02%	\$4,330.62	\$19,330.62		
Shasta Capital Associates	LIST, THOMAS & NANCY	\$46,605.00	9.39%	\$13,455.23	\$60,060.23		
Shasta Capital Associates	MARRONGELLE, JEFFREY & BARBARA	\$51,605.00	10.40%	\$14,898.77	\$66,503.77		
Shasta Capital Associates	OMAHA-BOY, NANCY	\$138,617.48	27.94%	\$40,019.95	\$178,637.43		
Universe Capital Appreciation	SCHMALZ, HARRY	\$20,000.00	4.03%	\$5,774.16	\$25,774.16		
Universe Capital Appreciation	TRINIDAD/VICO/PINNACLE	\$50,000.00	10.08%	\$14,435.39	\$64,435.39		
Universe Capital Appreciation	WEDEL, HARLAND & DONNA	\$30,000.00	6.05%	\$8,661.24	\$38,661.24		